



Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 3

				Complete if Known	
				Application Number	10/656,797
				Filing Date	September 4, 2003
				First Named Inventor	STARKSEN, NIEL F.
				Art Unit	Unassigned
				Examiner Name	Unassigned
				Attorney Docket Number	016886-001300US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. ¹	Document Number Number Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MTA	1	US-4,014,492	03-24-1977	Rothfuss	
	2	US-4,042,979	08-23-1977	Angell	
	3	US-4,043,504	08-23-1977	Hueil et al.	
	4	US-4,055,861	11-01-1977	Carpentier et al.	
	5	US-4,700,250	10-13-1987	Kuriyama	
	6	US-5,366,479	11-22-1994	McGarry et al.	
	7	US-5,450,860	09-19-1995	O'Connor	
	8	US-5,571,215	11-05-1996	Sterman et al.	
	9	US-5,674,279	10-07-1997	Wright et al.	
	10	US-5,709,695	01-20-1998	Northrup, III	
	11	US-5,752,518	05-19-1998	McGee et al.	
	12	US-5,848,969	12-15-1998	Panescu et al.	
	13	US-5,860,992	01-19-1999	Daniel et al.	
	14	US-5,904,651	05-18-1999	Swanson et al.	
	15	US-5,961,539	10-05-1999	Northrup, III et al.	
	16	US-5,972,004	10-26-1999	Williamson IV et al.	
	17	US-6,165,183	12-26-2000	Kuehn et al.	
	18	US-6,197,017	03-06-2001	Brock et al.	
	19	US-6,250,308	06-26-2001	Cox	
	20	US-6,260,552	07-17-2001	Mortier et al.	
	21	US-6,269,819	08-07-2001	Oz et al.	
	22	US-6,283,993	09-04-2001	Cosgrove et al.	
	23	US-6,312,447	11-06-2001	Grimes	
	24	US-6,332,893	12-25-2001	Mortier , t al.	
	25	US-6,524,338	02-25-2003	Gundry	
	26	US-2001/0005787	06-28-2001	Oz et al.	
	27	US-2001/0014800	08-16-2001	Frazier et al.	
	28	US-2002/0013621	01-31-2002	Stobie et al.	
	29	US-2002/0029080	03-07-2002	Mortier et al.	
	30	US-2002/0035361	03-21-2002	Houser et al.	
	31	US-2002/0042621	04-11-2002	Liddicoat et al.	
	32	US-2002/0087169	01-04-2002	Brock et al.	
	33	US-2002/0095167	07-18-2002	Liddicoat et al.	
	34	US-2002/0156526	10-24-2004	Hlavka et al.	
	35	US-2002/0161378 A1	10-31-2002	Downing	
	38	US-2002/0173841	11-21-2002	Ortiz et al.	
	37	US-2003/0074012	04-17-2003	Nguyen et al.	

Examiner Signature	<i>M T Anderson</i>	Date Considered	<i>8/21/2006</i>
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 801.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		<i>Complete If Known</i>	
Sheet	2	of	3
		Application Number	10/656,797
		Filing Date	September 4, 2003
		First Named Inventor	STARKSEN, NIEL F.
		Art Unit	Unassigned
		Examiner Name	Unassigned
		Attorney Docket Number	016886-001300US

Examiner Signature	M T Anderson	Date Considered	8/21/2006
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 3 of 3

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Application Number	10/656,797
Filing Date	September 4, 2003
First Named Inventor	STARKSEN, NIEL F.
Art Unit	Unassigned
Examiner Name	Unassigned

Attorney Docket Number 016886-001300US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	39	DE SIMONE et al. Adjustable tricuspid valve annuloplasty assisted by intraoperative transesophageal color Doppler echocardiography, Am. J Cardiol 73:721-722 (April 1993)	
/	40	DOWNING et al. Feasibility of Off-Pump ASD Closure Using Real-Time 3-D Echocardiography, Heart Surgery Forum, Abstract 7025 (June 2001)	

Examiner Signature	M T Andersen	Date Considered	8/21/2006
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet

1

of

3

Complete if Known

Application Number	10/656,797
Filing Date	September 4, 2003
First Named Inventor	Niel F. Starksen
Group Art Unit	3732
Examiner Name	Unassigned

Attorney Docket Number GDS 1013-1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document Number	Kind Code ² (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MTA	A1	5,522,873		Jackman et al.	06-04-1996	
	A2	5,716,370		Williamson, IV et al.	02-10-1998	
	A3	5,769,812		Stevens et al.	06-23-1998	
	A4	5,868,733		Ockuly et al.	02-09-1999	
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	A7	6,074,401		Gardiner et al.	06-13-2000	
	A8	6,149,658		Gardiner et al.	11-21-2000	
	A9	6,514,265		Ho et al. .	02-04-2003	
	A10	6,551,332		Nguyen et al.	04-22-2003	
	A11	6,602,288		Cosgrove et al.	08-05-2003	
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	A15	6,626,899		Houser et al.	09-30-2003	
	A16	6,629,534		St. Goar et al.	10-07-2003	Figs 78-82; 39/41-40/18
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	A18	6,702,826		Liddicoat et al.	03-09-2004	
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		Office ³	Number ⁴	Kind Code ⁵ (if known)			
MTA	B1	WO	94/03227		C. Stefanadis	02-17-1994	
	B2	WO	98/07375		Trustees of Columbia U.	02-26-1998	
	B3	WO	02/03892		Paul A. Spence	01-17-2002	
	B4						
	B5						
	B6						
	B7						
	B8						
	B9						
	B10						

Examiner Signature

M T Andersen

Date Considered

8/21/2006

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Sheet

2 of 3

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Application Number	10/656,797
Filing Date	September 4, 2003
First Named Inventor	Niel F. Starksen
Group Art Unit	3732
Examiner Name	Unassigned

Attorney Docket Number GDS 1013-1

U.S. PATENT DOCUMENTS

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MTA	A21	2002/0095167		Liddicoat et al.	07-18-2002	
	A22	2002/0161378		Downing	10-31-2002	
	A23	2002/0173841		Ortiz et al.	11-21-2002	
	A24	2003/0074012		Nguyen et al.	04-17-2003	
	A25	2003/0078603		Schaller et al.	04-24-2003	
	A26	2003/0093118		Ho et al.	05-15-2003	
	A27	2003/0130731		Vidlund et al.	07-10-2003	
	A28	2003/0199974		Lee et al.	10-23-2003	
	A29	2004/0019378		Hlavka et al.	01-29-2004	
	A30					
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	A32					
	A33					
	A34					
	A35					
	A36					
	A37					
	A38					
	A39					
	A40					

FOREIGN PATENT DOCUMENTS

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	B11							
	B12							
	B13							
	B14							
	B15							
	B16							
	B17							
	B18							
	B19							
	B20							

Examiner Signature	<i>M T Anderson</i>	Date Considered	8/21/2006
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				Filing Date	September 4, 2003
				First Named Inventor	Niel F. Starksen
				Group Art Unit	3732
				Examiner Name	Unassigned
(use as many sheets as necessary)				Attorney Docket Number	GDS 1013-1
Sheet	3	of	3		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
MTA	C1	NAGY, ZSOLT L. et al., "Mitral annoplasty with a suture technique", European Journal of Cardio-thoracic Surgery 18 (2000) p. 739.	
	C2	SHUMWAY, SARA J. et al., "A "Designer" Annoplasty Ring for Patients with Massive Mitral Annular Dilation", Ann Thorac Surg, Dec. 1988, 46:695-696.	

Examiner Signature	M T Anderson	Date Considered	8/21/2006
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Substitute for form 11-105
PATENT & TRADEMARK OFFICEINFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

				Complete if Known	
				Application Number	10/656,797
				Filing Date	September 4, 2003
				First Named Inventor	Niel F. STARKSEN
				Art Unit	3731
				Examiner Name	G. Jackson
Sheet	1	of	2	Attorney Docket Number	578492001500

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ³ (if known)			
MTA	1.	US-2002/0087048-A1	07-04-2002	Brock et al.	
	2.	US-2002/0087049-A1	07-04-2002	Brock et al.	
	3.	US-2002/0087148-A1	07-04-2002	Brock et al.	-
	4.	US-2002/0095175-A1	07-18-2002	Brock et al.	
	5.	US-2002/0138044-A1	09-26-2002	Streeter et al.	
	6.	US-2003/0018358-A1	01-23-2003	Saadat	
	7.	US-2003/0069593-A1	04-10-2003	Tremulis et al.	
	8.	US-2003/0078465-A1	04-24-2003	Pai et al.	
	9.	US-2003/0220685-A1	11-27-2003	Hlavka et al.	
	10.	US-2003/0233142-A1	12-18-2003	Morales et al.	
	11.	US-2004/0003819-A1	01-08-2004	St. Goar et al.	
	12.	US-2004/0030382-A1	02-12-2004	St. Goar et al.	
	13.	US-2004/0039442-A1	02-26-2004	St. Goar et al.	
	14.	US-2004/0193191-A1	09-30-2004	Starksen et al.	
	15.	US-2004/0243227-A1	12-02-2004	Starksen et al.	
	16.	US-2005/0065550-A1	03-24-2005	Starksen et al.	
	17.	US-2005/0107810-A1	05-19-2005	Morales et al.	
	18.	US-2005/0107811-A1	05-19-2005	Starksen et al.	
	19.	US-2005/0107812-A1	05-19-2005	Starksen et al.	
	20.	US-2005/0119523-A1	06-02-2005	Starksen et al.	
	21.	US-5,242,456-A	09-07-1993	Nash et al.	
	22.	US-5,257,975-A	11-02-1993	Foshee	
	23.	US-5,725,542-A	03-10-1998	Yoon	
	24.	US-5,989,284-A	11-23-1999	Laufer	
	25.	US-6,010,531-A	01-04-2000	Donlon et al.	
	26.	US-6,355,030-B1	03-12-2002	Aldrich et al.	
	27.	US-6,602,289-B1	08-05-2003	Colvin et al.	
	28.	US-6,651,671-B1	11-25-2003	Donlon et al.	
	29.	US-6,689,164-B1	02-10-2004	Seguin	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ⁴ -Number ⁴ -Kind Code ⁵ (if known)				
MTA	30.	WO-00/60995-A2, A3	10-19-2000	Evalve, Inc.		
	31.	WO-00/67640-A2, A3	11-16-2000	Brock Rogers Surgical, Inc.		
	32.	WO-02/051329-A1	07-04-2002	Brock Rogers Surgical, Inc.		
	33.	WO-03/105670-A2, A3	12-25-2003	Guided Delivery Systems, Inc.		
	34.	WO-2005/025644-A2	03-24-2005	Guided Delivery Systems, Inc.		

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Examiner Signature	M T Andersen	Date Considered	8/22/2006
pa-1007093			

Substitute for form 1449/PTO				<i>Complete if Known</i>	
				Application Number	10/656,797
				Filing Date	September 4, 2003
				First Named Inventor	Niel F. STARKSEN
				Art Unit	3731
				Examiner Name	G. Jackson
Sheet	2	of	2	Attorney Docket Number	578492001500

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				²
MTA	35.	De Simone, R. et al. (April 15, 1993). "Adjustable Tricuspid Valve Annuloplasty Assisted by Intraoperative Transesophageal Color Doppler Echocardiography," <i>Am. J. Cardiol.</i> 71(11):926-931.				
	36.	De Simone, R. et al. (April 1, 1994). "Adjustable Annuloplasty for Tricuspid Insufficiency with External Control," <i>Reader's Comments and Reply, Am. J. Cardiol.</i> 73(9):721-722.				

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ALTERNATIVE TO PTO/SB/08a/b (07-05)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	1	of	X /	Attorney Docket Number	578492001500
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U.S. PATENT DOCUMENTS

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		Number-Kind Code ² (if known)			
MJA	1.	US-2003/0033006-A1	02-13-2003	Phillips et al.	
	2.	US-2003/0167071-A1	09-04-2003	Martin et al.	
	3.	US-2005/0080454-A1	04-14-2005	Drews et al.	
	4.	US-2005/0216078-A1	09-29-2005	Starksen et al.	
	5.	US-2005/0251157-A1	11-10-2005	Saadat et al.	
	6.	US-2005/0251159-A1	11-10-2005	Ewers et al.	
	7.	US-2005/0251166-A1	11-10-2005	Vaughan et al.	
	8.	US-2005/0251177-A1	11-10-2005	Saadat et al.	
	9.	US-2005/0251205-A1	11-10-2005	Ewers et al.	
	10.	US-2005/0251207-A1	11-10-2005	Flores et al.	
	11.	US-2005/0251208-A1	11-10-2005	Elmer et al.	
	12.	US-2005/0251209-A1	11-10-2005	Saadat et al.	
	13.	US-2005/0251210-A1	11-10-2005	Westra et al.	
	14.	US-2005/0273138-A1	12-08-2005	To et al.	
	15.	US-2005/0277966-A1	12-15-2005	Ewers et al.	
	16.	US-2005/0277981-A1	12-15-2005	Maahs et al.	
	17.	US-2005/0277983-A1	12-15-2005	Saadat et al.	
	18.	US-2006/0025750-A1	02-02-2006	Starksen et al.	
	19.	US-2006/0025784-A1	02-02-2006	Starksen et al.	
	20.	US-2006/0025787-A1	02-02-2006	Morales et al.	
	21.	US-5,520,702-A	05-28-1996	Sauer et al.	
	22.	US-5,643,289-A	07-01-1997	Sauer et al.	
	23.	US-6,099,553-A	08-08-2000	Hart et al.	
	24.	US-6,409,743-B1	06-25-2002	Fenton, Jr.	
	25.	US-6,423,088-B1	07-23-2002	Fenton, Jr.	
	26.	US-6,575,971-B2	06-10-2003	Hauck et al.	
	27.	US-6,986,775-B2	01-17-2006	Morales et al.	
	28.	US-6,991,643-B2	01-31-2006	Saadat	

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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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Examiner Signature pa-1046972	M. T. Andersen	Date Considered 8/21/06
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